

PATENT 17243-00020

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant: Abbott et al.

Serial No. 09/769,121

Filed: January 24, 2001

For:

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METHODS AND SYSTEMS FOR FINANCING AND EXECUTING

Pursuant to 37 CFR 1.97(b)

TRANSACTIONS

Group Art Unit: 2161

Examiner:

CERTIFICATE OF MAILING

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on 2001.

INFORMATION DISCLOSURE STATEMENT

			[within 3 months of filing or prior to 1st Office Action]					
2.	[]	Certification Pursuant to 37 CFR 1.97(c) [before Final Office Action or Allowance]					
3	[]	Fee Payment Pursuant to 37 CFR 1.97(c) [before Final Office Action or Allowance]					
4.	[]	Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97 (d) [before Issue Fee payment]					
Hon. Co Washing			ner for Patents . 2023 l					
Sir:								
The foll	owi	ng are	e submitted in the above identified application in compliance with 37 CFR 1.97 & 1.98:					
5.	_	_	A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.					
This Paper is submitted in accordance with:								
6.	<u>✓</u>		37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]					
7.	_		37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and					

8.		The required certification made in item 11 below; or					
9.	_	The \$180 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.					
10.	_	37 CFR 1.97(d): [before issue fee payment]; and					
		This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention GROUP DIRECTOR, and if applicable include batch locator information: e.g., "Allowed Files, Batch, Date of Allowance "), and					
	· —	b) The required Certification is stated in item 11 below.					
11.		Certification					
12.		Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or					
13.	_	No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.					
14.		Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 01-2384. An original and two copies of this document is enclosed.					

Respectfully submitted,

John S./Beulick Reg. No. 33,338 Armstrong Teasdale LLP One Metropolitan Square, Suite 2600 St. Louis, MO 63012 (314) 621-5070

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17243-00020

Under the Paperwork Reduction Act of 1995, no person Complete if Known Substitute for form 1449A/PTO **Application Number** 09/769,121 INFORMATION DISCLOSURE Filing Date January 24, 2001 STATEMENT BY APPLICANT First Named Inventor Preston H. Abbott Group Art Unit 2161 (use as many sheets as necessary) **Examiner Name**

Attorney Docket Number

	U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite	U.S. Patent Document	Name of Patentee or Applicant	Date of Publication of	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
	No.1	Number Kind Code (if know	Of Cited Document	Cited Document MM-DD-YYYY			
	AA	5,717,989	Tozzoli et al.	02/10/98			
	AB	5,732,400	Mandler et al.	03/24/98			
	AC	5,970,475	Barnes et al.	10/19/99			
	AD	6,055,519	Kennedy et al.	04/25/00			
	AE	6,167,385	Hartley-Urquhart	12/26/00			
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	FOREIGN PATENT DOCUMENTS							
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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next

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1 Unique citation designation number. 2 See Attached Kinds of U.S. Patent Documents. 3 Enter Office that issued the document, by the two-letter code (WSIPO Standard ST.3). 4 For Japanese patent documents, 5 in the document of the indication of the year of the reign of the Emperor must preceded the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.